



PATENT  
18680-250518

#6/B  
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3-14-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

PHILIP T. DAVIS, ET AL.

Serial No.: 09/328,856

Filed: June 9, 1999

For: METHOD AND SYSTEM FOR  
PROVIDING INSURANCE PROTECTION  
AGAINST LOSS OF RETIREMENT  
ACCUMULATIONS IN A TAX FAVORED  
DEFINED CONTRIBUTION PLAN IN THE  
EVENT OF A PARTICIPANT'S DISABILITY

Art Unit: 2166

Examiner: S. RIMELL

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Washington D.C. 20231, on

February 28, 2002

Date of Deposit

Richard H. Zaitlen, Reg. No. 27,248

Name

Signature

2/28/02  
Date

SUPPLEMENTAL AMENDMENT AND RESPONSE

Assistant Commissioner for Patents  
Washington, D.C. 20231

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Technology Center 2100

Dear Sir:

Further to the Applicants' Response to Office Communication dated November 29, 2001, and as requested by the Examiner in a telephonic interview conducted between the Examiner and the Applicants' patent counsel on December 5, 2001, the Applicants hereby submit the instant Supplemental Amendment and Response and



In re Application of: PHILIP T. DAVIS, ET AL.

Serial No.: 09/328,856

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 FAVORED DEFINED CONTRIBUTION PLAN IN THE EVENT OF A PARTICIPANT'S  
 DISABILITY

Date: February 28, 2002

Examiner: S. RIMELL

Group Art Unit: 2166

ASSISTANT COMMISSIONER FOR PATENTS

Washington, D.C. 20231

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Sir:

Transmitted herewith is a Supplemental Amendment and Response in the above-identified application.

- \_\_\_\_\_ Small entity status of this application under 37 CFR 1.9 and 1.27 has been established by a verified statement previously submitted.
- \_\_\_\_\_ A verified statement to establish small entity status under 37 CFR 1.9 and 1.27 is enclosed.
- \_\_\_\_\_ Certified copy of Patent Application No. \_\_\_\_\_ filed \_\_\_\_\_ from which priority is claim under 35 U.S.C. §119.
- \_\_\_\_\_ No additional fee is required.

The fee has been calculated as shown below:

	(co. 1) Claims Remaining After Amendment		(Col. 2) Highest No. Prev. Paid For	(Col. 3) Present Extra	Small Entity/ Large Entity Rate	Additional Fee Due
Total Claims	17	Minus	45	0	x9 x18	0
Ind. Claims	3	Minus	3	0	x40 x80	0
First Presentation of Multiple Dependent Claims					+270 +135	0
<b>TOTAL</b>						<b>\$ 0.00</b>

- If the entry of Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.
- If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.
- If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent) is the highest number found from the equivalent box on Col. 1 of a prior amendment or the number of claims originally filed.

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**A copy of this sheet is  
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  X   Any filing fees under 37 CFR 1.16 for the presentation of extra claims.

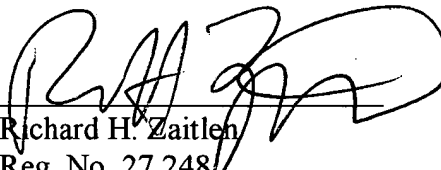
  X   Any patent application processing fees under 37 CFR 1.17.

Respectfully submitted,

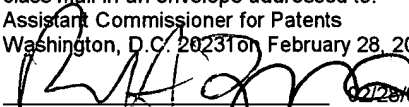
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Richard H. Zaitlen  
Reg. No. 27,248

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Richard H. Zaitlen, Reg. No. 27,248